

**IN THE UNITED STATES DISTRICT COURT
MIDDLE DISTRICT OF NORTH CAROLINA
DURHAM DIVISION**

**UNITED STATES SECURITIES AND
EXCHANGE COMMISSION,**

Plaintiff

v.

**GREG E. LINDBERG,
CHRISTOPHER HERWIG, and
STANDARD ADVISORY SERVICES
LIMITED,**

Defendants

Case No. 22-cv-00715

**Honorable Catherine C. Eagles
Honorable Joi Elizabeth Peak**

**DEFENDANT GREG E. LINDBERG'S RESPONSE TO PLAINTIFF'S MOTION
FOR SUMMARY JUDGMENT**

Defendant Greg. E. Lindberg (“Defendant” or “Mr. Lindberg”), by and through undersigned counsel, hereby submits this response to Plaintiff Securities and Exchange Commission’s (“SEC” or “Plaintiff”) Motion for Summary Judgment (ECF No. 105).

Consistent with Mr. Lindberg’s plea agreement and acceptance of responsibility in a related criminal case, *United States v. Greg Lindberg*, No. 3:23-cr-48-MOC (W.D.N.C.) (Dkt. Nos. 40, 43), which includes the same factual allegations as those set forth in the present case, Mr. Lindberg accepts responsibility for his conduct and does not dispute Plaintiff’s factual assertions in its Motion for Summary Judgment to the extent those factual assertions accord with the facts set forth in the Factual Basis filed in case number 3:23-cr-

48 (Dkt. No. 42).¹ Furthermore, Mr. Lindberg and Plaintiff have reached an agreement in principle on a bifurcated settlement that they anticipate filing with the Court by March 12, 2025 at the latest.

DATED: February 27, 2025

Respectfully submitted,

/s/ L. Cooper Harrell

Allison Mullins
N.C. State Bar No. 23430
L. Cooper Harrell
N.C. State Bar No. 27875
TURNING POINT LITIGATION
MULLINS DUNCAN HARRELL &
RUSSELL PLLC
300 North Greene Street, Suite 2000
Greensboro, NC 27401
Telephone: 336-645-3320
Facsimile: 336-645-3330
amullins@turningpointlit.com
charrell@turningpointlit.com

/s/ Ryan J. Meyer

Ryan J. Meyer, #24088053
Brandon N. McCarthy, #24027486
Katten Muchin Rosenman LLP
2121 N. Pearl Street, Suite 1100
Dallas, Texas 75201
Telephone: +1.214.765.3600
Facsimile: +1.214.765.3602
ryan.meyer@katten.com
brandon.mccarthy@katten.com

Attorneys for Defendant Greg E. Lindberg

¹ A copy of the Factual Basis is attached hereto as Exhibit 1.

CERTIFICATE OF WORD COUNT

In accordance with Local Rule 7.3(d), the undersigned hereby certifies that the foregoing document contains less than 170 words in the body, headings, and footnotes according to Microsoft Word's word count feature.

This the 27th day of February 2025.

/s/ Ryan J. Meyer

Ryan J. Meyer, #24088053

CERTIFICATE OF SERVICE

The undersigned hereby certifies that the foregoing document has been filed electronically with the Clerk of the Court using the CM/ECF system, which will send notification of such filing to counsel of record in this action.

This the 27th day of February 2025.

/s/ Ryan J. Meyer

Ryan J. Meyer, #24088053

Brandon N. McCarthy, #24027486

Katten Muchin Rosenman LLP

2121 N. Pearl Street, Suite 1100

Dallas, Texas 75201

Telephone: +1.214.765.3600

Facsimile: +1.214.765.3602

ryan.meyer@katten.com

brandon.mccarthy@katten.com

Attorneys for Defendant Greg E. Lindberg